

UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**COPY**

Docket No.

00-106

Total Pages in this Submission

120



## TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application

Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD AND APPARATUS FOR DYNAMIC RULE AND/OR OFFER GENERATION**

and invented by:

Raymod J. MUELLER, Andrew S. VAN LUCHENE, Jeffrey E. HEIER, Christine AMOROSI, Krishna SRIKANT, and Ted MARKOWITZ

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 99 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (*if applicable*)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (*if applicable*)
  - d. ☐ Reference to Microfiche Appendix (*if applicable*)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (*if drawings filed*)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

**UTILITY PATENT APPLICATION TRANSMITTAL  
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*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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**Application Elements (Continued)**

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal Number of Sheets 21
- b. ☐ Informal Number of Sheets 21
4. ☐ Oath or Declaration
- a. ☐ Newly executed (original copy) ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☐ With Power of Attorney ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class ☒ Express Mail (Specify Label No.): EV013984396US

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(Only for new nonprovisional applications under 37 CFR 1.53(b))

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Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Additional Enclosures (please identify below):

There are two (2) compact discs, one (1) original and one (1) duplicate, (the two compact discs are identical) and

Each compact disc includes ninety files, which are listed in detail on pages 4 and 5;

Each CD is IBM-PC formatted; and

Each CD is MS-Windows compatible.

Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)

17. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

Warning

**An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.**

PATENT



Express Mailin. Label No. EV013984396Us  
Attorney Docket No. 00-106

Continuation of 16. Additional Enclosures:

A computer program listing appendix has been submitted on two compact discs.  
All material on the compact discs is incorporated herein by reference as part of the  
present disclosure. There are two (2) compact discs, one (1) original and one (1)  
duplicate, and each compact disc includes the following ninety files:

FILE NAME	SIZE IN BYTES	DATE CREATED
ActionSet.java	26,409	10/31/01
ArmTimerOrderProcessor.java	7,095	10/26/01
BayesRule.java	6,274	10/26/01
BioNET.java	22,152	10/24/01
BioNetDatabase.java	40,708	11/1/01
BioNetNonTerminalException.java	5,108	10/30/01
BioNetTerminalException.java	3,140	8/27/01
BioNetUtilities.java	11,850	10/18/01
Classifier.java	47,169	10/29/01
ClassifierFieldManager.java	8,385	10/30/01
ClassifierPopulation.java	25,894	10/30/01
ClassifierSet.java	12,784	10/30/01
ClassifierStatistics.java	13,778	10/29/01
ClassifierSystem.java	4,248	11/7/01
ConditionalProbability.java	3,433	10/26/01
ConditionalProbabilityMap.java	5,566	10/17/01
ConditionalProbabilityMap_Double.java	2,090	10/17/01
ConditionalProbabilityMap_Integer.java	1,760	10/17/01
ConditionalProbability_Integer.java	4,059	10/26/01
ConfigurationEvent.java	3,373	10/29/01
ConfigurationEventListener.java	899	9/4/01
DatabaseField.java	1,773	8/27/01
DBbioNETConfig.java	15,479	10/30/01
DBcashiers.java	3,909	10/31/01
DBconfig.java	4,747	10/31/01
DBdataSubsystem.java	1,548	11/2/01
DBdataSubsystemFactory.java	9,749	10/28/01
DBdataSubsystemFactoryPhase1.java	3,914	10/28/01
DBdataSubsystemFactoryPhase2.java	3,909	10/28/01
DBdestinations.java	4,264	10/31/01
DBintDescription.java	7,553	10/31/01
DBmappedNodes.java	13,742	10/31/01
DBmenuItem.java	41,161	11/6/01
DBmenuItemPeriod.java	19,505	11/6/01
DBmenuItemPhase1.java	7,273	11/1/01

DBmenuItemProbability.java	7,266	11/1/01
DBmenuItems.java	51,588	11/6/01
DBmenuItemsPhase1.java	4,819	11/1/01
DBperiod.java	14,043	11/4/01
DBperiodCounts.java	5,320	11/4/01
DBperiods.java	27,560	11/6/01
DBregisters.java	4,228	10/31/01
DebugPrintNothing.java	1,861	11/2/01
DebugPrintOut.java	8,181	11/2/01
DigitalDealDatabase.java	4,175	10/31/01
Evolvable.java	1,301	11/2/01
EvolverAgent.java	3,676	11/2/01
GeneratesOffers.java	1,575	11/2/01
HasNamedFields.java	1,319	11/2/01
IdenticalOfferAgent.java	3,467	11/2/01
IdenticalOfferInterface.java	1,376	11/2/01
InitializeFromResultSet.java	1,336	8/27/01
Lcs.java	17,294	10/30/01
LcsItem.java	2,038	11/2/01
LearnerAgent.java	6,017	11/6/01
Learns.java	1,637	11/2/01
MappedNodeInterface.java	1,254	10/18/01
MappedNodeManager.java	1,883	10/18/01
MapsPeriodIds.java	1,202	10/9/01
MenuItemEvent.java	6,027	11/1/01
MenuItemListener.java	1,238	11/1/01
ObservedOutcomes.java	1,812	10/17/01
Offerable.java	2,042	11/5/01
Offerables.java	3,005	10/25/01
OfferGeneratingInstance.java	4,952	11/6/01
OfferGenerator.java	5,139	10/19/01
OfferItem.java	20,105	11/6/01
OfferPoolCreator.java	8,324	10/26/01
Order.java	15,403	10/29/01
Orderable.java	1,346	11/5/01
Orderables.java	1,998	10/16/01
OrderItem.java	8,136	11/5/01
OrderProcessor.java	8,737	9/27/01
OverDollarOfferPoolCreator.java	2,173	10/26/01
PeriodCounts.java	789	11/4/01
PeriodIdMapper.java	2,162	10/26/01
PredictionArray.java	13,648	10/29/01
RefreshAgent.java	1,769	10/24/01
RefreshListener.java	1,384	11/2/01
SqlStatement.java	16,751	10/24/01
StateEvent.java	2,986	10/2/01
StateEventListener.java	875	9/20/01
SystemParameters.java	18,660	10/29/01
TimerArmedOrderProcessor.java	4,747	9/26/01
TimerThread.java	1,304	10/24/01
Updatable.java	1,398	10/29/01
UpgradeAgent.java	2,644	10/25/01
WakeUpAction.java	880	8/28/01
XcsInstance.java	25,626	11/6/01
XcsOfferItem.java	7,860	10/29/01

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**(Large Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

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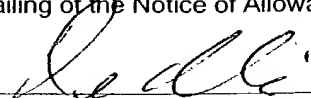


**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	7	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	5	- 3 =	2	x \$84.00	\$168.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					740
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$908.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **50-0271** as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of **\$908.00** as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

  
Signature

Dean P. Alderucci  
Attorney for Applicants  
PTO Registration No. 40,484  
203.461.7337/phone  
203.461.7300/fax

Alderucci@walkerdigital.com

Dated: November 14, 2001



22927

CC:

PATENT TRADEMARK OFFICE

Docket No.  
00-106

In Re Application of ~~OFER~~ MUELLER et al.

Serial No. 09/993,228 Filing Date November 14, 2001

Examiner  
Not Yet Assigned

Group Art Unit  
Not Yet Assigned

Title: **METHOD AND APPARATUS FOR DYNAMIC RULE AND/OR OFFER GENERATION**

Transmitted herewith is:

**Petition to Request Acceptance of Filing Date, 2 pp.;**  
**Copy of Notice of Incomplete Nonprovisional Application, 2 pp.;**  
**Exhibits "A", 1 pg., and "B", 6 pp.;**  
**Utility Patent Application, 99 pp.; and**  
**Return Receipt Postcard.**

in the above identified application.

- ☐ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **50-0271** as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of **\$1,140.00**
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

Dated: **March 4, 2002**

**Michael D. Downs**  
**Attorney for Applicants**  
**PTO Registration No. 50,252**  
**203.461.7292/phone**  
**203.461.7300/fax**

**Customer No. 22927**

**Alderucci@walkerdigital.com**

CC:

I certify that this document and fee is being deposited  
**March 4, 2002** with the U.S. Postal Service as  
 first class mail, under 37 C.F.R. 1.8 and is addressed to the  
 Assistant Commissioner for Patents, Washington, D.C.  
 20231.

*Signature of Person Mailing Correspondence*

**Veronika S. Leliever**

*Typed or Printed Name of Person Mailing Correspondence*



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/993,228	11/14/2001	Raymod J. Mueller	00-106

22927  
WALKER DIGITAL  
FIVE HIGH RIDGE PARK  
STAMFORD, CT 06905

CONFIRMATION NO. 8478

FORMALITIES LETTER



\*OC000000007376046\*

Date Mailed: 01/28/2002

NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b).

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below **and a newly executed oath or declaration covering the items must** be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(h)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition.

- The specification does not include at least one claim.  
*A complete specification as prescribed by 35 U.S.C. 112 is required.*

The required items noted below **SHOULD** be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above.

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- The balance due by applicant is \$ 740.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52 because:

03/12/2002 16:02Z 00000035 500271 09993228  
01 FC:101 740.00 CH  
02 FC:103 108.00 CH



- Papers contain improper margins. *Each sheet must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4")*
- An abstract was not provided for this application. An abstract of the technical disclosure is required under 37 CFR 1.72(b).

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*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE